



Department of Energy
Environmental Management
Policies and Procedures

Facility Walk-throughs

EM-4.2
Revision 0

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	Sponsoring Team Lead	Date
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	Sponsoring Group Lead	Date
Approved:	<u><i>[Signature]</i></u>	<u>2/10/00</u>
	Assistant Manager for Environmental Management	Date

1.0 PURPOSE

To establish a standard method of conducting and reporting scheduled and unscheduled documented walk-throughs of U.S. Department of Energy Oak Ridge Operations Environmental Management (DOE/ORO EM) Waste Management and Technical Integration (WMTI) programs, projects and work activities.

It will be the responsibility of EM staff, BJC and its subcontractors to ensure that (EM) activities are carried out in a quality and safe manner and thus protect DOE, contractor personnel, and the general public against environmental, health, and safety hazards.

2.0 SCOPE

Applicable to all DOE EM WMTI personnel and support staff (including support service contractors) during oversight of DOE contractor and subcontractor activities.

[NOTE: WMTI Program Managers responsible for overseeing ETP activities may follow ETP procedure for conducting walk-throughs, PSO-10.3, AWalk-throughs@, Rev. 3]

3.0 REFERENCES AND DEFINITIONS

3.1 REFERENCES

- 3.1.1 ORO EM, *Integrated Safety Management Systems (ISMS) Policy*, June 8, 1999
- 3.1.2 DOE Order 414.1A, *Quality Assurance*
- 3.1.3 Headquarters Environmental Management Guide, *Manager=s Guide for Safety and Health Walk-throughs*
- 3.1.4 DOE/ORO ETP, PSO-10.3, AWalk-throughs@, Rev.3.

3.2 DEFINITIONS

- 3.2.1 Findings: Negative practices that are deviations from a requirement.
- 3.2.2 Walk-through/Inspections: Physical observations of a contractor activity to verify that safe working conditions exist and that applicable requirements are being followed during work implementation.
- 3.2.3 Checklist: List of specific expectations developed from performance criteria that may be used by the assessor to evaluate and document the adequacy of a particular area they are assessing.

3.2.4 Proficiencies: Positive practices above and beyond typical industry standard practices.

3.2.5 Observations: Minor deviations from expectations.

3.2.6 Root Cause: The most basic reason or reasons for an effect that, if corrected, prevents recurrence.

3.2.7 Corrective Actions: Measures taken to rectify the direct, contributing and root causes of deficiencies such that the deficiencies will no longer exist or recur.

4.0 RESPONSIBILITIES

4.1 DOE WMTI GROUP LEADER

4.1.1 Shall transmit scheduled and unscheduled walk-through reports to the contractor for those walk-throughs that require response reports from the contractor.

4.1.2 Shall approve response reports that describe the corrective actions by the contractor.

4.2 DOE WMTI OFFICE STAFF

4.2.1 Shall develop a schedule of documented walk-throughs (for those documented walk-throughs to be determined in advance). (Reports are not required for all site or program visits.)

4.2.2 Should prepare or adapt checklists or similar references for scheduled and unscheduled documented walk-throughs.

4.2.3 Shall conduct scheduled and unscheduled documented walk-throughs.

4.2.4 Shall prepare scheduled and unscheduled walk-through reports that the performer transmits to the contractor (if no response report is required), or that the DOE WMTI Group Leader transmits (if a response report is required).

4.2.5 Shall evaluate the contractor=s response reports, which describe the corrective actions, for DOE WMTI Group Leader approval.

4.2.6 Shall submit walk-through reports and contractor=s response reports, to the WMTI Walk-through Corrective Action Tracking System (CATS) Coordinator.

4.2.7 Shall track corrective actions and review them for closure utilizing WMTI Walk-through Corrective Action Tracking System.

5.0 PROCEDURE

- 5.1 WMTI personnel shall prepare schedules for the planned documented walk-throughs, showing areas, disciplines, and dates. (Reports are not required for all site or program visits.)
- 5.2 For safety reasons, the walk-through assessor shall notify the appropriate contractor manager and any other individuals (i.e., DOE Facility Representatives, Site Office, STR) of walk-through activities if the assessor is not normally assigned within the area.
- 5.3 The walk-through assessor may prepare a detailed plan that includes checklists, review of previous walk-through corrective actions, and in-briefing and out-briefing dates.
- 5.4 Checklists or similar references should be used for scheduled and unscheduled documented walk-throughs.
 - 5.4.1 Reference 3.1.5 may be used for safety and health. Other areas of oversight, such as project or program technical matters, are also expected.
 - 5.4.2 Checklists should show the requirements selected for the walk-throughs, the areas and documents to be examined, and sufficient depth to provide confidence to the assessor.
- 5.5 A walk-through may begin with an in-briefing chaired by the assessor. Directly involved personnel from the organization being assessed should attend the in-briefing, as should those who may be affected by the results of the surveillance (e.g., managers or their representatives).
- 5.6 At the out-briefing, which should be held soon after completion of the walk-through, the performer:
 - 5.6.1 Shall discuss the findings, observations, and proficiencies that will be reported.
 - 5.6.2 May note groupings of findings, relations to systems, or other helpful information.
 - 5.6.3 Should state the schedule for the walk-through report (within 10 calendar days) and that the response report containing the contractor=s corrective actions is due within 30 calendar days after receipt of the walk-through report.
- 5.7 The Finding statement or Discussion paragraph in the walk-through report should reference the specific requirement that is not met. Attachment 1 is a guide for the format of walk-through reports.

- 5.8 If no response report is required from the contractor, the performer may transmit the walk-through report. If a response report is required, the DOE WMTI Group Leader shall transmit the report to the contractor. The distribution of the report shall be carefully considered, with the possibility of establishing a standard distribution for repetitive walk-throughs. Attachment 2 is an example of a transmittal letter from the DOE WMTI Group Leader.
- 5.9 The contractor's response report shall address each finding in the walk-through report with corrective actions, root causes for any systemic problems, and an implementation schedule.
- 5.9.1 A response report is not required from the contractor unless a walk-through report is sent requesting corrective actions.
- 5.9.2 Observations should be addressed in the response report, although corrective actions are not required.
- 5.9.3 Response reports shall be evaluated and an approval or rejection transmitted from the DOE WMTI Group Leader to the contractor.
- 5.10 The assessor shall track corrective actions and review them for closure in the WMTI Walk-through Corrective Action Tracking System (CATS).
- 5.11 The Corrective Action Tracking System (CATS) Coordinator shall transmit CA status reports to the WMTI Team Leader and respective Program Managers on a monthly basis.

6.0 RECORDS

- 6.1 Record documentation generated as a result of this procedure is maintained in accordance with EM Mail Room policies and procedures.
- 6.2 Records include:
- Schedules of planned walk-throughs
 - Checklists or other referenced materials
 - Walk-through reports
 - CA Response reports
 - Approval letters

7.0 ATTACHMENTS

Attachment 1 - Walk-through Report Format
Attachment 2 - Transmittal Letter (Example)

ATTACHMENT 1

WMTI WALK-THROUGH REPORT	
Performed by: Functional Area:	Date/Time Performed:
Contractor/Subcontractor Company Name:	Title of Checklist or Reference Used:
Work Location: Work Description:	
Were findings/observations discussed with workers? ____ Yes ____ No with their supervisors? ____ Yes ____ No	
Findings/observations were discussed with the following contractor management:	
Any findings, observations, or proficiencies below relate to the following ISM Functions if marked: 1.____Define the scope of work. 2.____Analyze the hazards. 3.____Develop and implement hazard controls. 4.____Perform work within controls. 5.____Provide feedback and continuous improvement.	
Finding 1: Discussion:	
Finding 2: Discussion:	
Proficiency 1: Discussion:	
Observation 1: Discussion 1:	

**ATTACHMENT 2
TRANSMITTAL LETTER (EXAMPLE)**

[Date]

Mr. [Name]
Manager of WM Projects
Bechtel Jacobs Company LLC
P. O. Box 2003
Oak Ridge, Tennessee 37830

Dear Mr. [Name]

WALK-THROUGH REPORT OF THE [FACILITY], [DATE]

Enclosed is the subject report. Please provide a response report within 30 calendar days of receipt. For each finding, state the corrective action, root cause for any systemic problems, and an implementation schedule. Address the observations as appropriate.

Please contact [Name] at [Phone] if there are any questions.

Sincerely,

[Name], Group Leader
Waste Management and Technical Integration

Enclosure

cc w/enclosure:

[Names]

Assessor

WMTI CATS Coordinator

Site Manager (i.e. Y-12, ETTP, ORNL, Pad, Ports)

Facility Representative

EM ES&H Support Group Representative